Page 1 of 1



## United States Patent and Trademark Office

COMMISSIONER FOR PATENTS

UNITED STATES PATENT AND TRADEMARK OPPICE WASHINGTON, D.C. 20231

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APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

09/846,682

05/02/2001

Michael Sasges

T8466399US

Confirmation No. 2919

26912

GOWLING LAFLEUR HENDERSON LLP COMMERCE COURT WEST, SUITE 4900

TORONTO, ON M5L 1J3

OC000000005230104°

FORMALITIES LETTER

· EANADA

Date Mailed: 06/27/2001

007 2 9 200 33

NCTICE TO FILE INSSING-P<del>arts of Non</del>provisional-ap<del>pli</del>cation

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTMS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
   Applicant must submit \$ 365 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$9.
  - □ \$9 for 1 total claims over 20.
- $\circ\hspace{0.1cm}$  The oath or declaration is missing.
  - A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- o The balance due by applicant is \$ 429.

A copy of this notice <u>MUST</u> be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/30/2001 JBALINAN 00000072 071750 09846688

01 FC:201

370.00 CH 9.00 CH

02 FC:203 03 FC:205

65.00 CH

Response To Notice To File Missing Parts Of Application Filing Date GP2-2004 (PTO-1533) (Small Entity)  In Re Application Of 1 9 7001 SASGES, Michael Serial No. 09/846,682  Invention:  OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS  TO THE ASSISTANT COMMISSIONER FOR PATENTS. Box Missing Parts  This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on June 27, 2801  Part  Enclosed herewith for filing are the following:  A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). (REQUIRED) An cath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.  A properly signed cell or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.  A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.  One verified small entity declaration(s)  is/are attached.  vas/were filed on  Cather (list):  Assignment Transmittal	10 29	01 15:22 FAX 4	16 862 7661		Ø 003			
In Re Application OF SASGES, Michael  Serial No.		•			Sec			
Serial No. 09/846,682  Invention:  OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS  TO THE ASSISTANT COMMISSIONER FOR PATENTS:  Box Missing Parts  This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on June 27, 2001  Date  Enclosed herewith for filing are the following:  A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). (REQUIRED)  An cath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.  A property signed cent or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.  A noath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.  A verified English translation of the non-English tanguage application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.  One verified small entity declaration(s)  Is/are attached.  was/were filed on  A separate request for refund.		•		111				
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Assignment Transmittal	×	Other (list):						
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[Page 1 of 3]

P31SMALL/REV03

Response To Notice To File Missing Parts Of Application Docket No. Filing Date Granted (PTO-1533)(Small Entity) T8466399US							•	
• •	In Re Application Of: SASGES, Michael							
	ial No. 16,682	Filing Date May 2, 2001		E	xaminer	Gro	up Art Unit	
OPTICAL PE	Invention: OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS							
2 9 2000	<u>w</u>	TO THE ASSISTA	NT COM	VISSIONER F	OR PATENTS:			
	<i>5)</i>	Attention:	: Man <u>ager</u>	, Application I	<u>Branch</u>			
TA WELLON	npletion of app	lication fees as calculate	ed below:					
Ø	Utility applica	tion filing fee					\$370.00	
_		eation filing fee						
⊠		of independent claims =	=3					
<b>X</b>	☑ Total number of claims =21							
	Multiple depe	ndent claims						
Surcharge for late payment of filing fee and/or late filing of original declaration or oath						\$65.00		
	Petition and fo	ee for filing by other than	ı all the inv	entors or a p	erson not the inve	ntor		
	Fee for proce	ssing an application filed	i with a no	n-English lan	guage specificatio	n .		
	Fee for proce	ssing and retention of ap	plication			-		
				Total co	mpletion of applic	ation fees	\$444.00	
This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.								
	One month	☑ Two months	☐ Thre	ee months	☐ Four months	s 🗆 Fiv	e months	
from		August 27, 2001	<u> </u>	until:	October 27,	2001		
		Date			Date			
					Total time exte	ension fes .	\$200.00	
					Tota	al fees due	\$644.00	





Filing Date Granted (PTO-1533) (Small Entity)

Docket No. T8466399US

In	Re	Applica	ition Of
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SASGES, Michael

Serial No.	Filing Date	Examiner	Group Art Unit
09/846,682	May 2, 2001		

Invention:

OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS

## TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

The fee of \$644.00 is to be paid as follows:

- ☐ A check in the amount of the fee is enclosed.
- The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 07-1750

A duplicate copy of this sheet is enclosed.

If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 07-1750

A duplicate copy of this sheet is enclosed.

Signature

Dated: October 29, 2001

I certify that this document and fee is being deposited on with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

cc:

# 4

Page 1 of 2

	verdfii Stati	Y Docket No. <b>T8466399</b> US						
ļ		al No. 46,682	Filing Date May 2, 2001	Patent No.	Issue Date			
	Applicant/ TROJAN TECHNOLOGIES INC. Patentee:							
) i	Presotion: OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS							
KI	2 8 2000 E							
Ą	nade th		mall business concern identified					
	⊠ ar ∣	n official of the sr	nall business concern empowe	red to act on behalf of the <b>conc</b>	ern identified below:			
1			jan Technologies Inc. 3020 Gore Road, London, Onta	rio. Canada NSV 4T7				
	13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35. United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.  I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:							
		the specification	n filed herewith with title as liste	ed above.				
	凶	the application	identified above.					
		the patent ident	tified above.					
	organization person, oth	n having rights to er than the inve ich would not qu	bove-identified small business the invention is listed on the intor, who could not qualify as alify as a small business conc	next page and no rights to the an independent inventor under	e invention are held by any er 37 CFR 1.9(c) or by any			

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:  no such person, concern or organization exists.								
ľ			n or organization e.					
FULL NAME								
ADDRESS								_
EIII AIARAE		Individual		Small Business Conc	æm		Nonprofit Organization	
FULL NAME ADDRESS								_
		Individual		Small Business Conc	æm		Nonprofit Organization	
FULL NAME ADDRESS								_
		Individual	0	Small Business Conc	æm		Nonprofit Organization	_
FULL NAME	<del></del>	<del></del>						
ADDRESS		Individual		Small Business Conc			Nonprofit Organization	-
Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)  I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))  I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.								
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ADDRESS OF PERSON SIGNING: 416 PINETREE DELLE, LOW DOW, FW, CAWADA.  NOH 3008								
SIGNATURE:	<u> </u>	<u>El</u>	7/8m	<u></u>	_ DATE: s	Sys !	<u> 26/200)</u>	